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AZ CORP COMMISSION  
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Phoenix, Arizona 85004-4429  
Telephone: (602) 262-5311

Jesse B. Simpson, Arizona State Bar No. 011099  
Direct Dial: (602) 262-5387  
Direct Fax: (602) 734-3741  
EMail: [jsimpson@lrllaw.com](mailto:jsimpson@lrllaw.com)

Attorneys for UBS Financial Services Inc.

**BEFORE THE ARIZONA CORPORATION COMMISSION**

In the Matter of:

UBS SECURITIES LLC and UBS  
FINANCIAL SERVICES INC.,

Respondents.

No. S20732A-10-0095

**MOTION TO ASSOCIATE COUNSEL  
PRO HAC VICE**

Jesse B. Simpson, pursuant to Rule 38(a), Ariz.R.Sup.Ct., moves the Arizona Corporation Commission to associate Therese L. Surprenant as counsel *pro hac vice* in this action. In support of this motion and pursuant to Rule 38(a)(3)(C), the following original documents are attached:

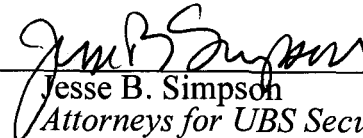
1. Verified Application to Appear *Pro Hac Vice*;
2. Certificate(s) of Good Standing; and
3. State Bar of Arizona Notice of Receipt of Complete Application.

Jesse B. Simpson hereby agrees to serve as local counsel in this matter and accepts the responsibilities detailed in Rule 39(a)(2), Ariz.R.Sup.Ct.

DATED this 20<sup>th</sup> day of April, 2010.

LEWIS AND ROCA LLP

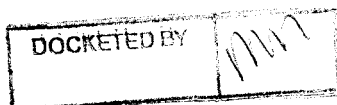
By

  
Jesse B. Simpson

Attorneys for UBS Securities LLC and  
UBS Financial Services Inc.

Arizona Corporation Commission  
**DOCKETED**

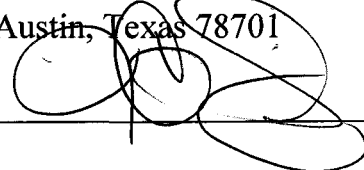
APR 20 2010



ORIGINAL filed this 20<sup>th</sup> day of  
April, 2010, and a COPY mailed to:

Cheryl T. Farson  
General Counsel  
Securities Division  
Arizona Corporation Commission  
1200 W. Washington  
Phoenix, AZ 85007

Therese Surprenant  
Director  
Associate General Counsel  
UBS Financial Services Inc.  
98 San Jacinto Blvd. Suite 600  
Austin, Texas 78701





Attn: Pro Hac Vice Dept  
PO Box 53099  
Phoenix, AZ 85072-3099  
Phone: 602-340-7239

For Official Use Only  
App# 1005424  
Bar Number# P174695

### Application for Appearance Pro Hac Vice

#### **PART I: Applicant Information**

Name of Applicant: Therese L. Surprenant

Firm/Company Name: UBS Financial Services Inc.

Office Address: 98 San Jacinto Blvd. Suite 600; Austin, Texas 78701

Telephone: (512) 479-5204 Fax: (512) 479-5206 Email Address: therese.surprenant1@ubs.com

Residence Address: 2312 Shoalmont Dr.; Austin, Texas 78756

Title of cause or case where applicant seeks to appear: In the Matter of: UBS Securities LLC and UBS Financial Services Inc.

Docket Number: S-20732A-10-0095

Court, Board, or Administrative Agency: Arizona Corporation Commission, Securities Division

Party on whose behalf applicant seeks to appear: UBS Securities LLC and UBS Financial Services Inc.

#### **Pursuant to Arizona Supreme Court Rule 38(i)(3), the applicant shall complete the information below:**

Courts to Which Applicant Has Been Admitted: (Attach additional pages if needed)	Date of Admission:	Bar Number:
<u>Texas</u>	<u>11/1/1996</u>	<u>00797526</u>
<u></u>	<u></u>	<u></u>
<u></u>	<u></u>	<u></u>
<u></u>	<u></u>	<u></u>

☒ Applicant is a member in good standing in such courts.

☒ Applicant is not currently disbarred or suspended in any court.

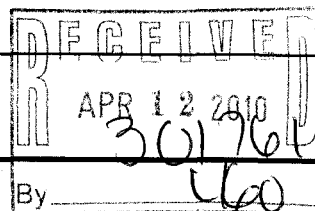
Applicant ☐ is / ☒ is not (**select one**) currently subject to any pending disciplinary proceeding or investigation by any court, agency or organization authorized to discipline attorneys at law.

In the preceding three (3) years, applicant has filed applications to appear as counsel under AZ ST S.Ct., Rule 38(a) in the following:

Title of Matter:	Docket #:	Court or Agency:	App Granted? (Y/N)
<u></u>	<u></u>	<u></u>	<u></u>
<u></u>	<u></u>	<u></u>	<u></u>
<u></u>	<u></u>	<u></u>	<u></u>

This case or cause ☐ is / ☒ is not (**select one**) a related or consolidated matter for which applicant has previously applied to appear pro hac vice in Arizona. If this matter is a related or consolidated with any previous application, Applicant certifies that he/she will review and comply with appropriate rules of procedure as required in the underlying cause.

If applicable, please provide related or consolidated matter application or docket#



**PART II: Local Counsel Information**

Name of Arizona Local Counsel: Jesse B. Simpson

State Bar of Arizona Number: 011099

Address: c/o Lewis and Roca LLP, 40 N. Central Ave., Ste. 1900, Phoenix, Arizona 85004

Telephone: (602) 262-5387 Fax: (602) 734-3741 Email Address: jsimpson@lrlaw.com

☒ Local Counsel is a member in good standing.

☒ Local Counsel associating with a nonresident attorney in a particular cause shall accept joint responsibility with the nonresident attorney to the client, to opposing parties and counsel, and to court, board, or administrative agency in that particular cause.

**PART III: Parties and Certification**

Name(s) of each party in this cause and name and address of all counsel of record:

Party:	Counsel of Record:	Address:
<u>UBS Securities LLC and</u>	<u>Therese L. Surprenant</u>	<u>UBS Financial Services Inc.</u>
<u>UBS Financial Services Inc.</u>	<u></u>	<u>98 San Jacinto, Ste. 600</u>
<u></u>	<u></u>	<u>Austin, TX 78701</u>
<u></u>	<u></u>	<u></u>

☒ Applicant is including with this application a nonrefundable application fee, payable to the State Bar of Arizona, in the amount of \$460.00. Fifteen percent of the non-refundable application fee paid pursuant to this section shall be deposited into a civil legal services fund to be distributed by the Arizona Foundation for Legal Services and Education entirely to approved legal services organizations, as that term is defined in subparagraph (f) of this rule.

☒ Applicant is furnishing a certificate from the state bar or from the clerk of the highest admitting court of each state, territory, or insular possession of the United States in which the nonresident attorney has been admitted to practice law certifying the nonresident attorney's date of admission to such jurisdiction and the current status of the nonresident attorney's membership or eligibility to practice therein. The certificate furnished shall be no more than forty-five (45) days old.

Applicant certifies the following:

1. Applicant shall be subject to the jurisdiction of the courts and agencies of the State of Arizona and to the State Bar of Arizona with respect to the law of this state governing the conduct of attorneys to the same extent as an active member of the State Bar of Arizona, as provided in Rule 46(b) Rules of the Supreme Court.
2. Applicant will review and comply with appropriate rules of procedure as required in the underlying cause.
3. Applicant understands and shall comply with the standards of conduct required of members of the State Bar of Arizona.

**Verification**

STATE OF TEXAS  
County of TRAVIS ss.

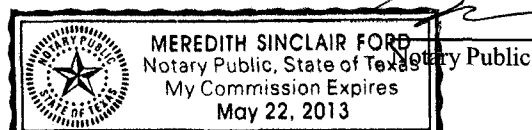
I, Therese L. Surprenant, swear that all statements in the application are true, correct and complete to the best of my knowledge and belief.

Dated: 4-7-2010

Applicant's Signature: Therese Surprenant

SUBSCRIBED AND SWORN TO before me this 7 day of April, 2010, by

Therese Surprenant  
Name of Applicant



# STATE BAR OF TEXAS



## Office of The Chief Disciplinary Counsel

April 07, 2010

RE: **Ms. Therese Lenore Surprenant**  
State Bar Number - **00797526**

To Whom it May Concern:

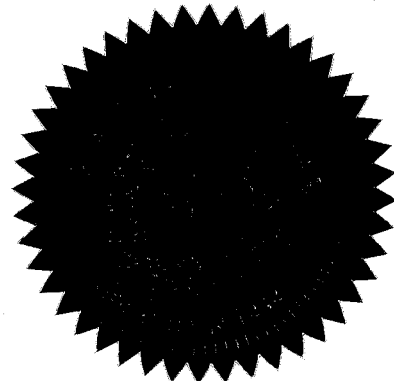
This is to certify that Ms. Therese Lenore Surprenant was licensed to practice law in Texas on November 01, 1996 and is an active member in good standing with the State Bar of Texas.

Good Standing means that the attorney is current on payment of Bar dues and attorney occupation tax; has met Minimum Continuing Legal Education requirements; and is not presently under either administrative or disciplinary suspension.

No disciplinary action involving professional misconduct has been taken against the attorney's law license. This certification expires 30 days from this date, unless sooner revoked or rendered invalid by operation of rule or law.

Linda A. Acevedo  
Chief Disciplinary Counsel

LA/dh



Arizona Corporation Commission

In the Matter of UBS Sec LLC and UBS Fin )  
Services Inc, )  
Plaintiff )

CASE #

v. )

SBA App #1005424

Defendant. )

**NOTICE OF RECEIPT OF COMPLETE  
APPLICATION**

NOTICE IS HEREBY given by THE STATE BAR OF ARIZONA that it has received the  
verified application and fee from Therese Surprenant.

In addition to this application, applicant has made the following applications to appear pro  
hac vice, pursuant to Rule38 (a), within the previous three (3) years:

Title of Matter	Court/Agency	Date	Granted?
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Exhibit A, the original verified application and Exhibit B, the original Certificate(s) of Good  
Standing are attached hereto.

DATED this 13<sup>th</sup> day of April 2010

  
John Billings  
Resource Center  
State Bar of Arizona

Original Mailed on this 13<sup>th</sup> day of April 2010 to:

Jesse B Simpson  
Lewis and Roca LLP  
40 N Central  
Phoenix, AZ 85004-4429